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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/001,475	11/01/2001	Mark Michael Groz	MMG-001V	1906

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EXAMINER	
OUELLETTE, JONATHAN P	

ART UNIT	PAPER NUMBER
3629	

MAIL DATE	DELIVERY MODE
07/16/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	10/001,475	GROZ, MARK MICHAEL	
	Examiner	Art Unit	
	Jonathan Ouellette	3629	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 14 May 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-13, 17-21, 29-33 and 41 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-13, 17-21, 29-33 and 41 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|--|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input checked="" type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. <u>20070427</u> . |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____. | 6) <input type="checkbox"/> Other: _____. |

DETAILED ACTION

Request for Continued Examination

1. The Request filed on 5/14/2007 for Continued Examination (RCE) under 37 CFR 1.114 based on parent Application No. 10/001,475 is acceptable and a RCE has been established. An action on the RCE follows.

Response to Amendment

2. Claims 14-16, 22-28, 34-40 have been cancelled; therefore, Claims 1-13, 17-21, 29-33, and 41 are currently pending in application 10/001,475.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.
4. **Claims 1-6, 12-13, 17-19, 29-31, 33, and 41 are rejected under 35 U.S.C. 102(e) as being anticipated by Thiessen et al. (US 5,495,412).**
5. As per **independent Claims 1 and 12**, Thiessen discloses a method (system) for using at least one computer to process contingent commitments (agreement preferences/alternative solutions, C3) relating to at least one business venture involving one or more agents

comprising (C13 L6-65): receiving at the computer a request from at least one of the one or more agents to participate in a computer-mediated decision-making group; updating a database, the update includes information about the one or more agents, that include contingent commitments between the one or more agents, and rules for processing said contingent commitments to discover solutions, wherein the contingent commitments (bargaining range or agreement preferences, C14) include at least one modal operator or quantifier (C13-C14, bargaining range 100 to 150).

6. As per Claim 2, Thiessen discloses submitting information about the agents to the database, wherein the information about the one or more agents includes privacy filters that can be removed only by said one or more agents (Abstract, C4 L45-63, C5 L42-65, C6 L16-43).
7. As per Claim 3, Thiessen discloses submitting the information about the one or more contingent commitments to the database, wherein the information of said one or more agents is controlled by privacy filters that can be removed only by said one or more agent (Abstract, C4 L45-63, C5 L42-65, C6 L16-43).
8. As per Claim 4, Thiessen discloses wherein processing said contingent commitments to discover solutions include: processing said contingent commitments to discover binding, nonbonding, subject to vote, or subject to future contingencies solutions.
9. As per Claim 5, Thiessen disclose wherein said receiving at the computer the request includes; receiving at the computer at least one contingent commitment.
10. As per Claim 6, Thiessen disclose wherein the processing said contingent commitments to discover solutions include; converting one of said solutions into a binding agreement among the one or more agents or a subset of the one or more agents.

11. As per Claim 29, Thiessen discloses wherein the using at least one computer to process contingent commitments relating to at least one business venture comprises: using at least one computer to process contingent commitments relating to one or more operating companies.
12. As per Claim 30, Thiessen discloses wherein the using at least one computer to process contingent commitments relating to at least one business venture comprises: using at least one computer to process contingent commitments relating to one or more private investment opportunities.
13. As per Claim 31, Thiessen discloses wherein the contingent commitments produce one or more contingent solutions.
14. As per Claim 33, Thiessen discloses sending an update notification from the computer to those agents in the computer-mediated decisions-making group according to agent-definable criteria, said update notification is in response to the update, wherein the update notification comprises: an indication that a new agent has joined the computer –mediated decision-making group; a description of solutions that are discovered by processing of the contingent commitments according to the rules of the database, with an indication of solution type, for each solution; information about the new agent; and information about one or more contingent commitments of said new agent.
15. As per **independent Claim 13**, Thiessen discloses a method for providing a valuation estimate, the valuation estimate pertaining to one or more quantities (C13 L6-65), said method comprising: performing one or more calculations at the request of one or more agents to estimate a value of the one or more quantities, said one or more calculations comprising:

selecting one or more models; selecting one or more sets of inputs; selecting one or more entities (C3 L11-67, C4 L1-12); further selecting a multi-dimensional error reduction by selecting from the above selected items at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*; performing the one or more calculations utilizing one or more computers or computing mechanisms using at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*, wherein the calculations provide the multi-dimensional error reduction; and calculating averages for each of at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents* (C3 L11-67, C4 L1-12, C13-C14).

16. As per Claim 20, Thiessen discloses wherein the performing the one or more calculations comprise: performing the one or more calculations using at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*, and wherein the performing one or more calculations are performed on weighted averages of at least one of at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*, respectively using at least one of the following: a) a plurality of model weighting factors, b) *a plurality of input set weighting factors*, or c) a plurality of entity weighting factors (C3 L11-67, C4 L1-12, C13-C14).

17. As per Claim 21, Thiessen discloses wherein the performing one or more calculations at the request of one or more agents to estimate a value of the one or more quantities comprise:

performing one or more calculations at the request of one or more agents to estimate a value of the one or more assets or liabilities (C3 L11-67, C4 L1-12).

18. As per **independent Claim 17**, Thiessen discloses a method for using at least one computer to make safe disclosures, comprising: performing one or more computer-based calculations at the request of one or more agents to estimate the value of a quantity, said one or more computer-based calculations comprising selecting one or more models; selecting one or more sets of inputs; selecting one or more entities; performing one or more calculations using said models, said input sets, and said entities; selecting a multi-dimensional error reduction by selecting from the above selected items *at least two of the following*: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*; calculating averages for at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents* (C3 L11-67, C4 L1-12, C13-C14), to accomplish said multi-dimensional error reduction utilizing one or more computers or computing mechanisms; calculating the median, mean, mode, or standard deviation determining a mutually acceptable price for one or more trading items between two agents (linear programming to solve optimization problem), said determining the mutually acceptable price for the one or more trading items comprising: receiving by said at least one computer a request from an agent to determine the mutually acceptable price with another agent; notifying an agent by said at least one computer of an opportunity to determine the mutually acceptable price with another agent, receiving by said at least one computer data related to the determining the mutually acceptable price for the one or more trading items between two agents; and performing a calculation to determine whether the

determining the mutually acceptable price for the one or mote trading items produces a price acceptable to said agents (C3 L11-67, C4 L1-12).

19. As per Claim 18, Thiessen discloses wherein said performing one or more computer-based calculations comprise: performing at least one networked-computer calculations, further comprising transmitting data from at least a first computer to at least one other device.
20. As per **independent Claim 19**, Thiessen discloses a method comprising: a) maintaining a database for managing contingent commitments by maintaining a database storing information, the information pertaining to existing agents, contingent commitments, and rules for processing said commitments to discover outcomes that satisfy the contingent commitments, wherein the contingent commitments include at least one modal operator or quantifier (C13 L6-65); and b) providing a valuation estimate, the valuation estimate providing an estimate as to one or more quantities by performing one or more calculations at the request of one or more agents to estimate the value of a quantity, selecting a multi-dimensional error reduction by selecting from the above selected items at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*, wherein the estimate accomplishes the multi-dimensional error reduction (C3 L11-67, C4 L1-12, C13-C14).
21. As per Claim 41, Thiessen discloses determining a mutually acceptable price for one or more trading items between two agents, said determining the mutually acceptable price for the one or more trading items comprising notifying an agent by said computer of an opportunity for determining the mutually acceptable price with another agent, receiving by the computer data related to the determining the mutually acceptable price between the two agents, performing

a calculation to determine whether the determining the mutually acceptable price produces a value acceptable to said agents.

Claim Rejections - 35 USC § 103

22. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

23. Claims 7 and 9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thiessen et al.

24. As per Claim 7 and 9, Thiessen fails to expressly disclose receiving an identifier specifying form of payment and account information to be used in providing payments related to computer-mediated decision-making group participation and/or transactions arising from solutions, receiving an express authorization to charge said account for said computer-mediated decision-making group participation.

25. However, web commerce was well established at the time the invention was made and therefore, it would have been obvious to except payment for dispute resolution services offered over the Internet by having the user identify the type of payment they wanted to use and receive express authorization to charge an account if necessary.

26. Claims 8, 10, 11, and 32 are rejected under 35 U.S.C. 103 as being unpatentable over Thiessen et al.

27. As per Claim 8, Thiessen fails to expressly show wherein receiving the identifier specifying form of payment and account information to be used in providing payments related to computer-mediated decision-making group participation and/or transaction arising from solutions include: receiving the identifier specifying the form of payment includes at least one of the following: credit card, debit card, Paypal, c2it, checking account transfer, or other electronic funds transfer.
28. However these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The dispute resolution method/system would be performed regardless of the form of payment identifier used. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).
29. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have accepted multiple payment identifiers, to include: credit card, debit card, Paypal, c2it, checking account transfer, or other electronic funds transfer, because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.
30. As per Claim 10, Thiessen fails to expressly show wherein receiving the express authorization comprises; receiving the express authorization from one of the group including: a credit card issuer, a debit card issuer, a bank, or other electronic funds transfer system sponsor.

31. However these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The dispute resolution method/system would be performed regardless of the where the express authorization is received. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).
32. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have received express authorization from credit card, debit card, Paypal, c2it, checking account transfer, or other electronic funds transfer a credit card issuer, a debit card issuer, a bank, or other electronic funds transfer system sponsor, because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.
33. As per Claim 11, Thiessen fails to expressly show wherein said using the at least one computer to process contingent commitments relating to at least one business venture include[s] at least one from the group of: using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning the price of a collection of goods and/or services; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning a non-price scalar value; using the at least one computer to process a computer-mediated decision-making process relating to a collection of goods and/or services; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties relating to venture capital investing; using the at least one computer to process a

computer-mediated decision-making process among a plurality of parties relating to joint venture undertaking; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties relating to the development of intellectual property; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties relating to internal corporate strategic planning; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning the scheduling of one or more meeting, events, or processes; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning the early adoption of new products and/or services; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning disposition of funds for charitable purposes; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning conduct of central bank policy; using the at least one computer to process a computer-mediated decision-making process among a plurality of parties concerning government or inter-governmental policy-making; and using the at least one computer to process a computer-mediated decision-making process among a plurality of parties relating to group activities.

34. However these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The dispute resolution method/system would be performed regardless of the types of problems disputed. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, *see In*

re Gulack, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).

35. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have resolved a multitude of problem types, because such a problem type does not functionally relate to the steps in the method claimed and because the subjective interpretation of the problem type does not patentably distinguish the claimed invention.
36. As per Claim 32, Thiessen fails to expressly show wherein the contingent commitments relating to at least one from the group of pension funds, institutional money managers, venture capitalists, angel investors, and other qualified investors.
37. However these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The dispute resolution method/system would be performed regardless of what the contingent commitment related to. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).
38. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have used the system/method to solve problems related to pension funds, institutional money managers, venture capitalists, angel investors, and other qualified investors, because such agents do not functionally relate to the steps in the method claimed and because the subjective interpretation of the agents do not patentably distinguish the claimed invention.

Response to Arguments

39. Applicant's arguments filed 5/14/2007 have been fully considered but are not persuasive; the rejection will remain as **Non-Final** based on the cited prior art of Thiessen.
40. The Applicant has made the argument that the prior art fails to expressly disclose a computer-mediated decision-making group in which multiple agents utilize contingent commitments; wherein the contingent commitments include at least one modal operator *or quantifier*.
41. However, as the Applicant has pointed out, the Prior art of Thiessen discloses “a computer-based method and apparatus for assisting multiple parties (computer-mediated) involved in complex negotiations in reaching agreement that optimizes the individual and overall benefit to the parties (Thiessen, C1 L9-13). Thiessen also discloses wherein the negotiations involve obtaining agreement preferences (bargaining range or agreement preferences, C14 – equivalent to contingent commitment) from the parties involves, wherein the preferences include at least one quantifier (C13-C14, bargaining range 100 to 150).
42. Furthermore, the contingent commitment module described in the specification as a facility for making contingent commitments of capital and/or other resources, and for transforming such multiple contingent commitments into “done deals.”
43. Therefore, the ICANS system described by Thiessen would be equivalent to the contingent commitment module, as a facility for making contingent commitments of capital and/or other resources, and for transforming such multiple contingent commitments (agreement preferences) into “done deals.”

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44. As per Claim 13, the Applicant makes the argument that the cited prior art fails to, in any way, address the problem of measuring the value of a quantity, nor does the prior art in any way describe a method for reducing the error associated with such measurement.
45. However, Thiessen does disclose the steps of calculating and reducing error associated with the calculations as claimed (selecting the appropriate combinations of possible variants): performing one or more calculations at the request of one or more agents to estimate a value of the one or more quantities, *said one or more calculations comprising: selecting one or more models; selecting one or more sets of inputs; selecting one or more entities* (C3 L11-67, C4 L1-12); further selecting a multi-dimensional error reduction *by selecting from the above selected items at least two of the following: a) a plurality of the models, b) a plurality of the sets of inputs, c) a plurality of the entities, or d) a plurality of the agents*; performing the one or more calculations utilizing one or more computers or computing mechanisms using at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents*, wherein the calculations provide the multi-dimensional error reduction; and calculating averages for each of at least two of the following: a) a plurality of the models, b) *a plurality of the sets of inputs*, c) a plurality of the entities, or d) *a plurality of the agents* (C3 L11-67, C4 L1-12, C13-C14).
46. Furthermore, In response to applicant's argument that the references fail to show certain features of applicant's invention, it is noted that the features upon which applicant relies (i.e., steps involved in defining a modal operator and creating a framework for multi-dimensional error *cancellation*) are not recited in the rejected claim(s). Although the claims are

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interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

47. Furthermore, the Examiner and the Applicant had an interview to discuss the claimed invention and how the prior art read on the claimed subject matter. In the interview the Examiner suggested amending the independent claims to better clarify the claimed invention; i.e. clarifying the “at least one modal operator *or quantifier*” *statement and to incorporate more details regarding the method used to determine the modal operator used in the business method (such as the detail used in Applicant’s arguments).*
48. Finally, in order to expedite prosecution the Examiner Further suggests incorporating the modal operator language (and further modal operator determination detail) into the independent claims to get over the cited prior art.

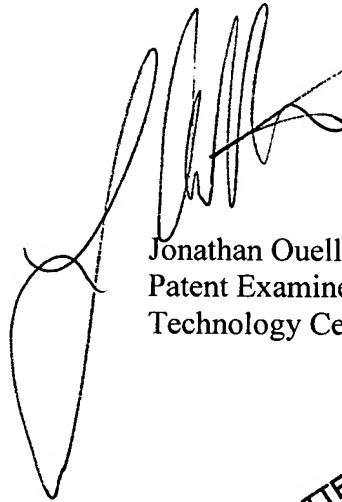
Conclusion

49. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jonathan Ouellette whose telephone number is (571) 272-6807. The examiner can normally be reached on Monday through Thursday, 8am - 5:00pm.
50. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone numbers for the organization where this application or proceeding is assigned (571) 273-8300 for all official communications.

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51. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Office of Initial Patent Examination whose telephone number is (703) 308-1202.

July 8, 2007

A handwritten signature in black ink, consisting of a series of loops and a long horizontal stroke at the end.

Jonathan Ouellette
Patent Examiner
Technology Center 3600

JONATHAN OUELLETTE
PRIMARY EXAMINER
TECHNOLOGY CENTER 3600